

02 - 13 - 04

TRANSMITTAL OF INFORMATION DISCLOSURE STATEMENT
(Under 37 CFR 1.97(b) or 1.97(c))

Docket No.
 15436.29.1.1

In Re Application Of: **Giaretta, et al.**

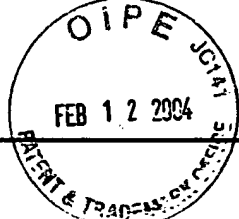
Serial No.
 10/629,724

Filing Date
 July 28, 2003

Examiner
 Unknown

Group Art Unit
 2838

Title: **COOLED EXTRENALLY MODULATED LASER FOR TRANSMITTER OPTICAL SUBASSEMBLY**



Address to:

Assistant Commissioner for Patents
 Washington, D.C. 20231

37 CFR 1.97(b)

1. ☒ The Information Disclosure Statement submitted herewith is being filed within three months of the filing of a national application other than a continued prosecution application under 37 CFR 1.53(d); within three months of the date of entry of the national stage as set forth in 37 CFR 1.491 in an international application; before the mailing of a first Office Action on the merits, or before the mailing of a first Office Action after the filing of a request for continued examination under 37 CFR 1.114.

37 CFR 1.97(c)

2. ☐ The Information Disclosure Statement submitted herewith is being filed after the period specified in 37 CFR 1.97(b), provided that the Information Disclosure Statement is filed before the mailing date of a Final Action under 37 CFR 1.113, a Notice of Allowance under 37 CFR 1.311, or an Action that otherwise closes prosecution in the application, and is accompanied by one of:
- ☐ the statement specified in 37 CFR 1.97(e);
- OR**
- ☐ the fee set forth in 37 CFR 1.17(p).

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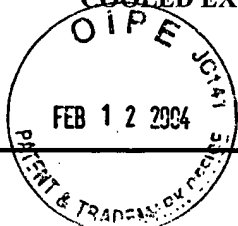
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COOLED EXTRENNALLY MODULATED LASER FOR TRANSMITTER OPTICAL SUBASSEMBLY



Payment of Fee

(Only complete if Applicant elects to pay the fee set forth in 37 CFR 1.17(p))

- ☐ A check in the amount of _____ is attached.
- ☒ The Assistant Commissioner is hereby authorized to charge and credit Deposit Account No. 23-3178 as described below. A duplicate copy of this sheet is enclosed.
- ☐ Charge the amount of _____
- ☒ Credit any overpayment.
- ☒ Charge any additional fee required.

Certificate of Transmission by Facsimile*

I certify that this document and authorization to charge deposit account is being facsimile transmitted to the United States Patent and Trademark Office (F

(Date)

Signature

Typed or Printed Name of Person Signing Certificate

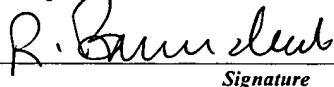
Certificate of Mailing by First Class Mail

I certify that this document and fee is being deposited with the U.S. Postal Service as first class mail under 37 C.F.R. 1.8 and is addressed to the Assistant Commissioner for Patents, Washington, D.C. 20231.

Signature of Person Mailing Correspondence

Typed or Printed Name of Person Mailing Certificate

*This certificate may only be used if paying by deposit account.


Signature

Dated: February 12, 2004

R. Burns Israelsen
Reg. No. 42,685
Customer No. 022913

CC:

EXPIRATION DATE: FEB 12 2004
OIPF 2014
PATENT & TRADEMARK OFFICE
In re

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Giaretta, et al.

Art Unit
2838

For: COOLED EXTERNALLY MODULATED
LASER FOR TRANSMITTER OPTICAL
SUBASSEMBLY

Examiner: Unassigned

INFORMATION DISCLOSURE STATEMENT
UNDER 37 C.F.R. § 1.97

Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

Sir:

Please find, pursuant to 37 C.F.R. § 1.98(a)(1), the enclosed Form PTO-1449 which contains a list of all patents, patent applications, publications, or other items that have come to the attention of one or more of the individuals designated in 37 C.F.R. § 1.56(c). While no representation is made that any of these references may be "prior art" within the meaning of that term under 35 U.S.C. §§ 102 or 103, the enclosed list of references is disclosed so as to fully comply with the duty of disclosure set forth in 37 C.F.R. § 1.56.

Moreover, while no representation is made that a specific search of office files or patent office records has been conducted or that no better art exists, the undersigned attorney of record believes that the enclosed references are the closest to the claimed invention (taken in its entirety) of which the undersigned is presently aware, and no art which is closer to the claimed invention (taken in its entirety) has been knowingly withheld.

The accompanying Form PTO-1449, notifies the Examiner of the specified related pending U.S. patent applications listed therein. This notice is not an admission that the claims of the present application and the claims of the specified related pending patent applications are substantially similar or that the specified related applications represent prior art with respect to the present application.

DATED this 12 day of Feb., 2004.

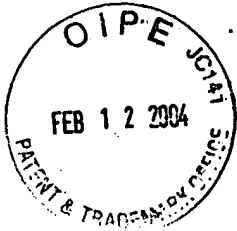
Respectfully submitted,



R. BURNS ISRAELSEN
Attorney for Applicant
Registration No. 42,685
Customer No. 022913

RBI: kk

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PATENT APPLICATION

Docket: 15436.29.1.1

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of)
)
Giaretta, et al.)
)
Serial No.: 10/629,724) Art Unit
) 2838
Confirmation No. 7527)
)
Filed: July 28, 2003)
)
For: COOLED EXTERNALLY MODULATED)
LASER FOR TRANSMITTER OPTICAL)
SUBASSEMBLY)
)
Examiner: Unassigned)

EXPRESS MAILING LABEL EV 382940822 US


CERTIFICATE OF MAILING BY "EXPRESS MAIL"

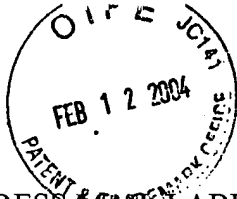
I hereby certify that the following documents are being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 C.F.R. § 1.10 on the date indicated below in an envelope addressed to Box: Mail Stop Patent Application, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

Dated this 12 day of February 2004.

- Transmittal for Information Disclosure Statement (2 pgs.)
- Information Disclosure Statement (2 pgs.)
- Form PTO-1449 (3 pgs.)
- Postcard

Respectfully submitted,


Kimberly Kendrick
Paralegal to R. Burns Israelsen



EXPRESS MAIL LABEL NO.: EV 382940822 US

Form PTO-1449

Sheet 1 of 3

Applicant: Giaretta, et al.

Serial No.: 10/629,724

Att'y Docket No.: 154326.29.1.1

Filing Date: July 28, 2003

Confirmation No.: 7527

For: COOLED EXTERNALLY MODULATED LASER FOR
TRANSMITTER OPTICAL SUBASSEMBLY

INFORMATION DISCLOSURE CITATIONS MADE BY APPLICANT

Related U.S. Patent Applications

<u>Inventor(s)</u>	<u>Application Number</u>	<u>Filing Date</u>
Aronson, et al.	10/629,253	July 28, 2003
Kumar, et al.	10/409,837	April 9, 2003
Aronson, et al.	10/748,051	December 30, 2003

U.S. Patent Documents

<u>Examiner Initial*</u>	<u>Patent Number</u>	<u>Issue Date</u>	<u>Name</u>	<u>Filing Date</u>
_____ A1.	3,987,676	10/26/76	Bennewitz	11/28/75
_____ A2.	4,128,697	12/05/78	Simpson	04/22/77
_____ A3.	4,375,578	03/01/83	Mitchell, et al.	02/06/81
_____ A4.	4,769,684	09/06/88	Crocker, et al.	07/07/87
_____ A5.	5,212,345	05/18/93	Gutierrez	01/24/92
_____ A6.	5,545,846	08/13/96	Williams, et al.	09/30/93

Foreign Patent Documents

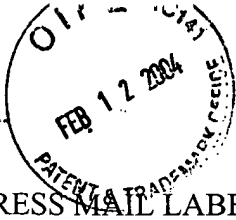
<u>Examiner Initial*</u>	<u>Document Number</u>	<u>Publ. Date</u>	<u>Country or Patent Office</u>	<u>Sub Class</u>	<u>Class</u>	<u>Trans- lation</u>
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NONE

Examiner:

Date Considered:

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.



EXPRESS MAIL LABEL NO.: EV 382940822 US

Form PTO-1449

Sheet 2 of 3

Applicant: Giaretta, et al.

Serial No.: 10/629,724

Att'y Docket No.: 154326.29.1.1

Filing Date: July 28, 2003

Confirmation No.: 7527

For: COOLED EXTERNALLY MODULATED LASER FOR
TRANSMITTER OPTICAL SUBASSEMBLY

Other Documents

(including author (if listed), title, relevant pages, date of publication including at least month and year).

Examiner

Initial*

NONE

References Cited by Applicants

While the filing of Information Disclosure Statements is voluntary, the procedure is governed by the guidelines of Section 609 of the Manual of Patent Examining Procedure and 37 C.F.R. §§ 1.97 and 1.98. To be considered a proper Information Disclosure Statement, Form PTO-1449 shall be accompanied by a copy of each listed patent or publication or other item of information and a translation of the pertinent portions of foreign documents (if an existing translation is readily available to the applicant), an explanation of relevance of each reference not in the English language, and should be submitted in a timely manner as set out in MPEP Sec. 609.

Examiners will consider all citations submitted in conformance with 37 C.F.R. § 1.98 and MPEP Sec. 609 and place their initials adjacent the citations in the spaces provided on this form. Examiners will also initial citations not in conformance with the guidelines which may have been considered. A reference may be considered by the Examiner for any reason whether or not the citation is in full conformance with the guidelines. A line will be drawn through a citation if it is not in conformance with the guidelines AND has not been considered. A copy of the submitted form, as reviewed by the Examiner, will be returned to the applicant with the next communication. The original of the form will be entered into the application file.

Examiner:

Date Considered:

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.



EXPRESS MAIL LABEL NO.: EV 382940822 US

Form PTO-1449

Sheet 3 of 3

Applicant: Giaretta, et al.

Serial No.: 10/629,724

Att'y Docket No.: 154326.29.1.1

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For: COOLED EXTERNALLY MODULATED LASER FOR
TRANSMITTER OPTICAL SUBASSEMBLY

Each citation initialed by the Examiner will be printed on the issued patent in the same manner as references cited by the Examiner on Form PTO-892.

The reference designations "A1," "A2," etc. (referring to Applicant's reference 1, Applicant's reference 2, etc.) will be used by the Examiner in the same manner as Examiner's reference designations "A," "B," "C," etc. on Office Action Form PTO-1142.

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Examiner:

Date Considered:

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